

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/916,618	07/26/2001	Geeng-Chuan Chern	2102397-911600

CONFIRMATION NO. 9435

26379  
GARY CARY WARE & FREIDENRICH LLP  
1755 EMBARCADERO RD  
PALO ALTO, CA 94303-3340

## FORMALITIES LETTER



\*OC000000006513599\*

Date Mailed: 09/05/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

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*A copy of this notice **MUST** be returned with the reply.*

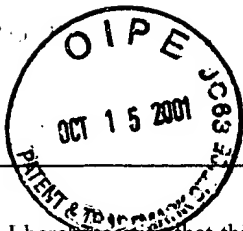
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/17/2001 MBELETE1 00000016 09916618

01 FC:105

130.00 OP



M-A

Sector \$

Attorney Docket No.: 2102397-911600

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as FIRST CLASS MAIL in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on October 10, 2001

Kathleen LaBrie  
(Name)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Geeng-Chuan Chern

Serial No: 09/916,618

Group Art Unit: 2818

Filed: July 26, 2001

Examiner: Not assigned

Title: Self Aligned Method Of Forming A Semiconductor Memory Array Of Floating Gate Memory Cells With Vertical Control Gate Sidewalls And Insulation Spacers, And A Memory Array Made Thereby

\* \* \*

**RESPONSE TO NOTICE TO FILE MISSING PARTS**  
**OF UTILITY PATENT APPLICATION**

Box MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the "Notice to File Missing Parts of Utility Patent Application" mailed by the United States Patent and Trademark Office on September 5, 2001. The following documents are enclosed to complete the filing of the above-referenced patent application:


1. Copy of Notice to File Missing Parts
2. Executed Declaration
3. Power of Attorney by Assignee w/ courtesy copy of assignment
4. Fee transmittal (in duplicate)
5. Check in the amount of \$130.00 (missing parts surcharge)
6. Return Postcard

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896.

Respectfully submitted,

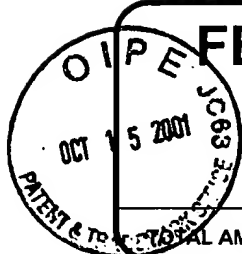
GRAY CARY WARE & FREIDENRICH LLP

Dated: Oct 10, 2001

By   
Alan A. Limbach  
Reg. No. 39,749  
Attorney for Applicant

GRAY CARY WARE & FREIDENRICH  
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 130.00

## Complete if Known

Application Number	09/916,618
Filing Date	July 26, 2001
First Named Inventor	Geeng-Chuan Chern
Examiner Name	not assigned
Group Art Unit	2818
Attorney Docket No.	2102397-911600

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 07-1896
- Deposit Account Name Gray Cary Ware & Freidenrich LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ 0.00

## 2. EXTRA CLAIM FEES

Total Claims        -20\*\* =        X        =       

Independent Claims        -3\*\* =        X        =       

Multiple Dependent        =       

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130.00

## SUBMITTED BY

Name (Print/Type) Alan A. Limbach

Registration No. (Attorney/Agent)

39,749

## Complete (if applicable)

Telephone

650-833-2433

Signature

*Alan A. Limbach*

Date

October 10, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.